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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/853,360	05/10/2001	Geoff Grindrod	NETAP012	5696
28875	7590	11/18/2003	EXAMINER HIRE, JOSEPH P	
SILICON VALLEY INTELLECTUAL PROPERTY GROUP P.O. BOX 721120 SAN JOSE, CA 95172-1120			ART UNIT 2121	
PAPER NUMBER				

DATE MAILED: 11/18/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b> 09/853,360	<b>Applicant(s)</b> GRINDROD ET AL.	
	<b>Examiner</b> Joseph P. Hirl	<b>Art Unit</b> 2121	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

**Period for Reply**

**A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.**

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 10 May 2001.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-68 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-68 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
     Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
     Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. §§ 119 and 120**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
     a) ☐ All    b) ☐ Some \*    c) ☐ None of:  
         1. ☐ Certified copies of the priority documents have been received.  
         2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
         3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 13) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application) since a specific reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.  
     a) ☐ The translation of the foreign language provisional application has been received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121 since a specific reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                  | 4) <input type="checkbox"/> Interview Summary (PTO-413) Paper No(s). _____  |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)         | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____ | 6) <input type="checkbox"/> Other: _____                                    |

### **DETAILED ACTION**

1. Claims 1-68 are pending in this application.
2. The claims and only the claims form the metes and bounds of the invention. "Office personnel are to give the claims their broadest reasonable interpretation in light of the supporting disclosure. *In re Morris*, 127 F.3d 1048, 1054-55, 44USPQ2d 1023, 1027-28 (Fed. Cir. 1997). Limitations appearing in the specification but not recited in the claim are not read into the claim. *In re Prater*, 415 F.2d, 1393, 1404-05, 162 USPQ 541, 550-551 (CCPA 1969)" (MPEP p 2100-8, c 2, I 45-48; p 2100-9, c 1, I 1-4). The Examiner has full latitude to interpret each claim in the broadest reasonable sense. Examiner will reference prior art using terminology familiar to one of ordinary skill in the art. Such an approach is broad in concept and can be either explicit or implicit in meaning.

### ***Drawings***

3. The drawings are objected to because of the following:  
  
Figs. 2-7 are of poor quality (shading/contrast is inconsistent) and will obliterate illustrated information.  
  
These objections must be corrected.

***Claim Rejections - 35 USC § 102***

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

5. Claims 1-68 are rejected under 35 U.S.C. 102(e) as being anticipated by Helgeson et al (US Pub 2002/0049749 referred to as Helgeson).\

**Claims 1, 12**

Helgeson anticipates serving a content page to a client browser of a client by a server, the content page allowing for entering and modifying of data relating to a business logic rule (**Helgeson**, p 0019); generating data by the server according to a predefined format from information received via the content page (**Helgeson**, p 0019); and automatically committing the generated data in the predefined format into a database, the database storing data including data relating to business logic rules for implementing business logic as entries in the database, the generated data being committed into a corresponding entry in the database (**Helgeson**, p 0019); wherein upon said committing, the committed database business rule entry is ready for execution by the business logic application (**Helgeson**, p 0019; Examiner's Note (EN): see Helgeson at Fig. 2 for a typical computer implementation).

**Claims 2, 13**

Helgeson anticipates the entering of data includes selectively enabling and disabling the business logic rule via the content page provided by the server (Helgeson, p 0019; EN: such is accomplished by custom presentation of information).

**Claims 3, 8, 14, 19, 25, 30, 39, 42**

Helgeson anticipates data for each business rule includes general information data, condition data, action data, and schedule data (Helgeson, p 0019; EN: data of various types are used by business objects and expressed via software related to the content page).

**Claims 4, 15, 26, 35**

Helgeson anticipates automatically verifying the entry corresponding to the business logic rule in the predefined format using DTDs (Document Type Definitions) (Helgeson, p 0019; p 0530; EN: it is axiomatic that an entry is verified since there is no other way of proceeding).

**Claims 5, 16, 27, 36**

Helgeson anticipates committing the entered data according to the predefined format includes committing the entered data according to a predefined XML format (Helgeson, Abstract).

**Claims 6, 17, 28, 35, 37**

Helgeson anticipates automatically verifying the entry corresponding to the business logic rule in the predefined XML format using DTDs (Document Type Definitions) (see references for claims 4 and 5; EN: server will host application).

**Claims 7, 18, 29**

Helgeson anticipates serving the content page to the client browser includes serving an expression builder content page for entering and modifying of the data relating to the business logic rule expressed as an expression having symbols to be resolved when an instance of the business rule is one of created and executed by the business logic application (**Helgeson**, p 2 above applies; p 0019; EN: expression builder is a grouping of software, all software operates with symbols).

**Claims 9, 20, 31, 43**

Helgeson anticipates data for each business rule includes action data, the action data selectively includes action data expressed as an expression via the expression builder content page (**Helgeson**, p 2 above applies; p 0019; EN: all data is in one form or another action data albeit potential and such information will be operated on (expressed) by software).

**Claims 10, 21, 32, 44**

Helgeson anticipates data for each business rule includes condition data, the condition data selectively includes a condition expressed as an expression via the expression builder content page (**Helgeson**, p 2 above applies; p 0019; EN: all data is in one form or another conditioned data including action data and such information will be operated on (expressed) by software).

**Claims 11, 22, 33**

Helgeson anticipates said serving the content page to the client browser includes serving a business rules management content page for displaying

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business rules stored as entries in the database and for allowing one of selecting to create a new business rule and selecting to modify an existing business rule (**Helgeson**, p 2 above applies; p 0019; EN: the information content of the browser represents the business rules which were stored in a database and the browser provides the interface that accommodates changing such rules (objects).

**Claim 23**

Helgeson anticipates a client having a client browser (**Helgeson**, p 0019); a database for storing data including data relating to business logic rules for implementing business logic as entries in the database (**Helgeson**, p 0019); and a server having a web server adapted to serve at least one content page to the client browser for entering and modifying of the data of a business logic rule corresponding to an entry in the database (**Helgeson**, p 0019), wherein said server is adapted to automatically commit an entry corresponding to the business logic rule into the database according to a predefined format after modifications via the content page at said client browser and wherein the committed database business rule entry is ready for execution upon commitment by said server (**Helgeson**, p 0019; Fig. 1).

**Claim 24**

Helgeson anticipates each business logic rule can be selectively enabled via the content page provided by the server at the client browser (**Helgeson**, p 0019; EN: Browser makes selections that engage rules that are software coded).

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**Claim 34**

Helgeson anticipates a web server in communication with a client browser of a client and adapted to serve at least one non-programmatic interactive user page to the client browser for obtaining data for a customized business logic rule (Helgeson, p 0019; EN: non-programmatic is not defined in the specification but since it is interactive, the Helgeson's user interface would qualify since it is interactive); and an application server in communication with a database containing data relating to business logic rules for implementing business logic as entries in the database (Helgeson, p 0019); wherein the data obtained for the customized business logic rule corresponds to an entry in the database (Helgeson, p 0019); wherein the application server is adapted to dynamically and automatically commit the data as an entry corresponding to the customized business logic rule into the database in a predefined format after obtaining the data via the user page at said client Browser (Helgeson, p 0019); and wherein the committed database business rule entry is ready for execution upon commitment by said application server (Helgeson, p 0019).

**Claim 38**

Helgeson anticipates each business logic rule in the database can be selectively enabled via the at least one non-programmatic interactive user page (Helgeson, p 0019; EN: see comments re claim 34).

**Claim 40**

Helgeson anticipates at least one non-programmatic interactive user page includes a business rules management page for displaying business rules stored



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as entries in the database and for allowing one of selecting to create a new business rule and selecting to modify an existing business rule (**Helgeson**, p 0019; EN: see comments re claim 34).

**Claim 41**

Helgeson anticipates at least one non-programmatic interactive user page includes an expression builder page expressing data of the business logic rule as an expression having at least one symbol that is to be resolved when an instance of the business rule is one of created and executed (**Helgeson**, p 0019; EN: see comments re claim 34).

**Claim 45**

EN: re claim 45 and dependents. Scheduling of tasks is a generic task of a software program operating in the processor environment of Helgeson's Figs. 1 and 2.

Helgeson anticipates writing an event job into a job queue for each occurrence of an event having at least one business rule based on occurrence thereof (**Helgeson**, p 0019; EN: the event is initiated at the user interface; the business rule is the associated command and the job queue is such user activity of at least length one); creating a business rule instance for each business rule corresponding to the event job (**Helgeson**, p 0019; EN: rules follow the operation of the business application management system); testing conditions of each business instance job (**Helgeson**, p 0019; EN: tests follow the operation of the business application management system); writing the business rule instance into the job queue corresponding to each business instance for which the

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conditions testing succeeds (**Helgeson**, p 0019; EN: saving follows successful testing in the operation of the business application management system); deleting the event job from the job queue (**Helgeson**, p 0019; EN: operation of the business application management system); executing the business rule instance (**Helgeson**, p 0019; EN: operation of the business application management system); and deleting the business rule instance from the job queue (**Helgeson**, p 0019; EN: operation of the business application management system; para 2 above applies).

**Claims 46, 58**

Helgeson anticipates scheduling the business rule instance, wherein said executing the business rule instance is according to said scheduling (**Helgeson**, p 0019; EN: operation of the business application management system).

**Claims 47, 59**

Helgeson anticipates scheduling the business rule instance is selected from the group consisting of delaying job execution, rescheduling job execution, scheduling repeat executions, and suspending execution (**Helgeson**, p 0019; EN: operation of the business application management system).

**Claim 48**

Helgeson anticipates testing conditions of the business rule instance (**Helgeson**, p 0019; EN: operation of the business application management system); if the instance conditions testing fails, deleting the business rule instance from the job queue (**Helgeson**, p 0019; EN: operation of the business application management system); and if the instance conditions testing

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succeeds: executing actions specified by the business rule instance, and deleting the business rule instance from the job queue (**Helgeson**, p 0019; EN: operation of the business application management system).

**Claim 49**

Helgeson anticipates scheduling execution using an execution schedule as determined according to scheduling data of the business rule instance (**Helgeson**, p 0019; EN: operation of the business application management system); and executing actions specified by the business rule instance according to the execution schedule (**Helgeson**, p 0019; EN: operation of the business application management system).

**Claims 50, 62**

Helgeson anticipates resolving embedded pre-queue symbols in expressions of the event job corresponding to the business rule (**Helgeson**, p 0019; EN: to one of ordinary skill in the art, all software has embedded symbols of whatever vintage).

**Claims 51, 53**

Helgeson anticipates parsing the expression hierarchically (**Helgeson**, Fig. 2; EN: to one of ordinary skill in the art, parsing is a genetic skill in computer science); and resolving the symbols in a recursive manner (**Helgeson**, Fig. 2; EN: to one of ordinary skill in the art, parsing is a genetic skill in computer science).

**Claim 52**

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Helgeson anticipates resolving embedded post-queue symbols in expressions of the business rule instance (**Helgeson**, Fig. 2; EN: to one of ordinary skill in the art, all software is symbol based and operations on such symbols is generic).

**Claim 54**

Helgeson anticipates monitoring for incoming notification events (**Helgeson**, p 0019); and reporting the incoming notification events to the business process system (**Helgeson**, p 0019).

**Claim 55**

Helgeson anticipates said executing the business rule instance includes selectively transmitting an outgoing notification (**Helgeson**, p 0019).

**Claims 56, 68**

Helgeson anticipates the outgoing notification is selected from the group consisting of mail, pager notification, Telalert, and NT network message notifications (**Helgeson**, p 0105).

**Claim 57**

Helgeson anticipates a job queue module for maintaining a job queue and processing jobs in the job queue (**Helgeson**, p 0019; Fig. 2; EN: to one of ordinary skill in the art, job queue are generic to a computer program; a processor is the fastest element in a computer and will always have a waiting queue of tasks...unless the job is completed...and then there is internal house keeping); and a notification module in communication with said job queue module for monitoring for incoming notification events and reporting the incoming

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notification events to the job queue module (**Helgeson**, p 0019; Fig. 2), wherein said job queue module writes an event job corresponding to a business logic rule to the job queue upon receiving an incoming notification event that matches a triggering event of the business logic rule (**Helgeson**, p 0019; Fig. 2); said job queue module tests conditions of the business logic rule corresponding to the event job, deletes the event job from the job queue, and, if conditions of the business logic rule are met, writes a business rule instance to the job queue (**Helgeson**, p 0019; Fig. 2); and said job queue module processes the business rule instance and deletes the business rule instance from the job queue (**Helgeson**, p 0019; Fig. 2; EN: to one of ordinary skill in the art, this claim represents the straight forward application of generic computer science where there is nothing new and it is very obvious).

**Claim 60**

Helgeson anticipates job queue module processes the business rule instance includes testing conditions of the business rule instance, executing actions specified by the business rule instance if the conditions testing succeeds, and deleting the business rule instance from the job queue (**Helgeson**, p 0019).

**Claim 61**

Helgeson anticipates the job queue module executes actions specified by the business rule instance includes scheduling execution according to scheduling data of the business rule instance and executing actions specified by the business rule instance according to the execution scheduling (**Helgeson**, p 0019).

**Claims 63, 65**

Helgeson anticipates the job queue module resolves embedded pre-queue symbols by parsing the expression hierarchically and resolving the symbols in a recursive manner (**Helgeson**, p 0019; Fig. 2; EN: to one of ordinary skill in the art, this claim represents the straight forward application of generic computer science where there is nothing new and it is very obvious).

**Claim 64**

Helgeson anticipates the job queue resolves any embedded post-queue symbols in expressions of the business rule instance (**Helgeson**, p 0019; Fig. 2; EN: to one of ordinary skill in the art, symbols are part of software and of course, the software will resolve such symbols).

**Claim 66**

Helgeson anticipates the notification module monitors for incoming notification events and reports the incoming notification events to the job queue module (**Helgeson**, p 0019; Fig. 2).

**Claim 67**

Helgeson anticipates the job queue module processes the business rule instance by selectively transmitting an outgoing notification to the notification module (**Helgeson**, p 0019; Fig. 2).

***Conclusion***

6. The prior art of record and not relied upon is considered pertinent to applicant's disclosure.

Livingston et al, USP 6,424,979

7. Claims 1-68 are rejected.

***Correspondence Information***

8. Any inquiry concerning this information or related to the subject disclosure should be directed to the Examiner, Joseph P. Hirl, whose telephone number is (703) 305-1668. The Examiner can be reached on Monday – Thursday from 6:00 a.m. to 4:30 p.m.

If attempts to reach the Examiner by telephone are unsuccessful, the Examiner's supervisor, Anil Khatri can be reached at (703) 305-0282.

Any response to this office action should be mailed to:

Commissioner of Patents and Trademarks,

Washington, D. C. 20231;

or faxed to:

(703) 746-7239 (for formal communications intended for entry);

or faxed to:

(703) 746-7290 (for informal or draft communications with notation of "Proposed" or "Draft" for the desk of the Examiner).

Hand-delivered responses should be brought to:

Receptionist, Crystal Park II

2121 Crystal Drive,

Arlington, Virginia.

Joseph P. Hirl

November 12, 2003



**ANIL KHATRI**  
**SUPERVISORY PATENT EXAMINER**